



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

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of

1

Complete if Known

Application Number	09/942,426 - conf. #7416		
Filing Date	August 29, 2001		
First Named Inventor	Peter R. Horsfall		
Art Unit	2161		
Examiner Name	Not Yet Assigned		
Attorney Docket Number	E3331.0525/P525		

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number-Kind Code ⁴ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁵
O-RA	BA	EP 1 100 030 A1	05-16-2001	Altra Energy Technologies, Inc.		

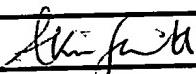
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³Applicant's unique citation designation number (optional). ⁴See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. ⁵For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁶Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature  Date Considered 8/23/06



PTO/SB/08A (10-01)

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Sheet	1	of	1	Attorney Docket Number	E3879.0030/P030

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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			
O-A	A	EP-1-100030	10-13-2000	Altra Energy Technologies, Inc.	
O-B	B	WO-01/59661	08-16-2001	Fenichel	

¹Applicant's unique citation designation number (optional). ²See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			
O-A	C	Project EPM Notes of the business/technical off-site meeting held August 13, 1999 at Waldorf Astoria Hotel, Aldwych, London			
O-B	D	PETER HORSFALL, "EPM Process Overview," August 20, 1999, Version 0, EBS Dealing Resources, Inc.			

Examiner Signature	<i>Horsfall</i>	Date Considered	8/23/06
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Sheet	1	of	1	Attorney Docket Number	E3879.0030/P030

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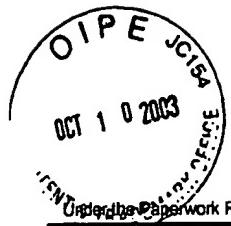
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B-V	A	http://about.reuters.com/newsreleases/art , "Instinet Unveils Technology Architecture of Fix Income Trading Brokerage," New Release, June 15, 1999	

Examiner Signature		Date Considered	08/23/02
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0-A	BA	WO 02/059815 A1	08-01-2002	Compudigim International Limited	
0-A	BB	WO 01/11521 A1	02-15-2001	Carlos A. Beracasa	
0-A	BC	WO 00/11587 A1	03-02-2000	Marketxt, Inc.	

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Sheet 1 of 1 Attorney Docket Number E3331.0525/P525

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OJ8	AA	5,689,652	11-18-1997	Lupien et al.	

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OJ8	BA	WO 00/16224	03-23-2000	EBS Dealing Resources	
OJ8	BB	WO 99/19821	04-22-1999	Derivative Net, Inc.	
OJ8	BC	WO 01/48668	07-05-2001	Xbond Corporation	

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OJ8	A	UK Search Report dated February 217, 2003			

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0-A	BA	WO 02/099563 A2	12-12-2002	Espeed Inc.	T ⁶

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